

REQUEST FOR PROPOSALS

ALABAMA DEPARTMENT OF ECONOMIC & COMMUNITY AFFAIRS



Small Business Energy-Efficient Lighting Retrofit Grants (2nd Round)

Alabama Department of Economic and Community Affairs

Energy Division

State Energy Program

Issue Date: January 20, 2012

Proposal Due Date: March 2, 2012

SMALL BUSINESS ENERGY-EFFICIENT LIGHTING RETROFIT GRANTS STATE ENERGY PROGRAM

Eligible Applicants

A small business, as defined by the U.S. Small Business Administration, is one that is independently owned and operated, is organized for profit, and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding twelve months or on sales volume averaged over a three-year period. These size standards can be located at the U.S. Small Business Administration's website at <http://www.sba.gov/content/table-small-business-size-standards>.

Proposals

Each proposal submitted must contain one (1) original and two (2) copies.

Submission Information

All proposals must be received no later than 5:00 p.m., **March 2, 2012** at:

By Mail:

ADECA - Energy Division
P.O. Box 5690
Montgomery, AL 36103-5690

By Courier:

ADECA - Energy Division
Mailroom 404
401 Adams Avenue
Montgomery, AL 36104

Late Proposals

Proposals submitted after the due date will not be considered. The Energy Division reserves the right to reject any incomplete proposals without review.

Questions

Questions pertaining to this RFP may be submitted by email or fax to Karl Frost, SEP Program Manager, at karl.frost@adeca.alabama.gov or (334) 242-0552.

Please keep a complete copy of your proposal (including a copy of all completed and signed attachments) for your records.

This 'Request for Proposal' does not indicate acceptance or approval of any proposal in response to this request. No grant or contract payment can be made until a grant agreement has been fully executed. Therefore, no work shall begin on projects selected for funding until an executed grant agreement has been received. All grant awards are contingent upon state receipt of federal funds awarded.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

A. Summary

The Alabama Department of Economic and Community Affairs (ADECA) - Energy Division manages the State Energy Program (SEP) for Alabama by authority of the U.S. Department of Energy (DOE). Each year the Energy Division develops and implements an energy efficiency plan that will reduce projected energy consumption in Alabama.

Projects under this Request For Proposals (RFP) will be funded, in whole or in part, with funds appropriated the SEP. SEP is a formula grant used to promote the conservation of energy, to reduce the rate of growth of energy demand, and to reduce dependence on imported oil through the development and implementation of a comprehensive State Energy Program and the provision of Federal financial and technical assistance to States in support of such program. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the SEP.

The Energy Division is seeking proposals from for-profit small business owners to install energy efficiency lighting upgrades. The primary goal is to increase energy efficiency for the small business sector and increase job retention and creation by reducing costs for businesses in the private sector. The optimal payback period for each retrofit should be 10 years or less.

B. Project Goals

Proposals submitted in response to this solicitation should, to the maximum extent feasible, incorporate the goals and objectives of the SEP. Each goal or objective area should be addressed and briefly discussed as it relates to proposed activities.

Specific SEP goals or objectives addressed by a proposal warrant a broader discussion of how the proposed project will impact such goals or objectives and produce outcomes that can be reported using recommended metrics.

Proposals should be developed with thoughtful consideration being given to the applicable quarterly and annual reporting requirements contained in Part V.

The goals established for the SEP are:

1. Increase energy efficiency to reduce energy costs and consumption for consumers, businesses and government.
2. Reduce reliance on imported energy.
3. Improve the reliability of electricity and fuel supply and the delivery of energy services.
4. Reduce the impacts of energy production and use on the environment.

PART II – AWARD INFORMATION

A. Estimated Funding

Approximately \$65,000 is available for the Small Business Energy-Efficient Lighting Retrofit Grants Program.

B. Award Size and Anticipated Number of Awards

The maximum amount requested for each proposal submitted under this announcement is \$5,000.

The Energy Division expects to make 16 awards.

C. Period of Performance

The Energy Division anticipates awarding grants to begin April 1, 2012 and to terminate no later than September 30, 2012, for an amount not to exceed the amount requested by the Offerer or that which is negotiated between the selected Offerer and the Energy Division.

D. Method of Payment

Payments shall be made on a cost-reimbursement basis over the course of the grant.

E. Prohibited Expenditures

State Energy Program Regulation 10 CFR Part 420 does not allow expenditures or matching funds for the following:

- For construction, such as construction of mass transit systems and exclusive bus lanes, or for construction or repair of buildings or structures;
- To purchase land, a building or structure or any interest therein;
- To subsidize fares for public transportation;
- To subsidize utility rate demonstrations or state tax credits for energy conservation or renewable energy measures; or
- To conduct or purchase equipment to conduct research, development or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available.

F. Cost Matching

25% cost match is required for grants made with SEP funds.

PART III – PROGRAM DESCRIPTION

The Energy Division is seeking proposals from for-profit small business owners to install energy efficiency lighting upgrades. The primary goal is to increase energy efficiency for the small business sector and increase job retention and creation by reducing costs for businesses in the private sector.

A small business, as defined by the U.S. Small Business Administration, is one that is independently owned and operated, is organized for profit, and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding twelve months or on sales volume averaged over a three-year period. These size standards can be located at the U.S. Small Business Administration's website at <http://www.sba.gov/content/table-small-business-size-standards>.

Eligibility Requirements;

1. The applicant must own the space to be retrofitted. Proof of ownership must be provided;
or
2. If you are lessee, you must submit a copy of your lease agreement stating you are responsible for electricity costs and include written approval from your lessor approving the retrofits.
3. Applicant must be located at their present location for at least 6 months.
4. Facilities of all sizes are eligible (Eligibility is determined by sales volume or number of employees)

Additional Information needed in order to apply:

1. Provide data/calculation supporting the projected energy savings on "Addendum A."
2. Copy of the previous electricity bills for at least 6 months.

PART IV – PROPOSAL CONTENTS

Each proposal submitted must contain one (1) original and two (2) copies of the following documents:

A. Letter of Transmittal

The letter of transmittal must include the following:

1. A brief statement of the work to be performed.
2. The total cost of the project.
3. A statement assuring that the person signing the letter is authorized to bind the offer presented in the letter and accompanying proposal.

B. Proof of Ownership

Proof of ownership can be provided in one of the two methods;

1. Deed or other legal ownership document or;
2. If you are lessee, you can submit a copy of your lease agreement stating you are responsible for electricity costs and also include written approval from your lessor approving the retrofits.

C. Previous Electricity Bills

Provide photocopies of the electricity bills for at least the previous 6 months.

D. Addendum A – *Small Business Energy Improvement Application*

Each applicant must submit a Small Business Energy Improvement Application (Addendum A).

Notes:

- All fields on each line item **must be completed** to be considered.
- The optimal payback period for each retrofit should be 10 years or less.

E. Attachments

These attachments can be found on our website at www.adeca.alabama.gov/C7/FormsPubs

Attachment A - *Project Budget*

The Project Budget should outline the expenditures for the project. Please reference Attachment "B" for a description of budget categories. Proposal preparation costs are not reimbursable.

Attachment B - Budget Narrative

The Budget Narrative should include a detailed explanation of the expenditures outlined in your Project Budget.

Attachment C - State of Alabama – Disclosure Statement

Alabama Act 2001-955 requires the Vendor Disclosure Statement to be completed and filed with all proposals, bids, contracts, and grant proposals to the State of Alabama in excess of \$5,000. Complete all lines as indicated. If an item does not apply, denote 'N/A' (not applicable). If you cannot include required information in the space provided, attach additional sheets as necessary. **The form must be signed, dated, and notarized.**

Attachment D - Offerer/Proposer Information

The Offerer must submit an Offerer/Proposer Information Form to properly indicate organization and contact information of the individuals involved in the project.

Attachment E - W-9 Request for Taxpayer Identification Number and Certification

A completed and signed W-9 Request for Taxpayer Identification Number and Certification Form must accompany the proposal. Only the Rev. January 2011 version will be accepted.

Attachment F - Immigration Status

A declaration that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States. This should be signed by the applicant.

Attachment G - Assurance of Compliance – Nondiscrimination in Federally Assisted Programs

A declaration that the applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the applicant receives Federal assistance from the U.S. Department of Energy.

Attachment H - Certifications

This form certifies matters regarding lobbying, debarment, suspension, and other responsibility matters including a drug-free workplace.

Attachment I – Standard Form - LLL Disclosure of Lobbying Activities

If applicable, complete Standard Form – LLL (SF-LLL). Applicability: If any funds other than federal appropriated funds have been paid or will be paid to

any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit SF–LLL “Disclosure Form to Report Lobbying.”

PART V – PROPOSAL EVALUATION

Proposals shall be evaluated on the following criteria; therefore a concise discussion of each of these areas as they are applicable to the proposal is warranted. Poor performance implementing prior Energy Division grants may disqualify potential applicants from this solicitation.

Technical Criteria (40 points possible)

- How well the proposal combines the goals and objectives of the SEP, and proposes the realistic accomplishment and key components and anticipated benefits in terms of:
 - Energy cost savings
 - Renewable energy development
 - Increased energy efficiency
 - Reduction of reliance on imported energy
 - Reducing the impacts of energy production and use on the environment
- Proposed plan to complete the project in an expeditious manner with a detailed description of deliverables and timelines for task completion
- Potential for sustainability and ability to extend the impact of funds provided
- Qualifications and experience of Offerer in proposed project and experience conducting similar programs or previous performance implementing prior grants with the Division

Cost Criteria (20 points possible)

- Budget for proposed project is appropriate and reasonable
- Cost breakdown for each proposed task on "Addendum A"
- Degree of leveraging (25% required)

Program Specific (40 points possible)

- List of tasks to be performed with realistic time estimates for each work task on "Addendum A"
- Description of each element to be accomplished
- Clearly defined, quantifiable and measurable task elements, with clearly stated goals and objectives
- Suitability of proposed energy improvements for application and description of each energy improvement to be accomplished including cost, savings, and payback
- Proper documentation of ownership or lease agreement with lessor approval
- Provided copies of previous electricity bills
- Provided number of employees over the last 12 months or average annual receipts over the past 3 years

SEP Proposal Review Sheet

Category: **Small Business Energy-Efficient Lighting Retrofit Grants**

Proposer: _____

Requested Budget: \$ _____

Reviewer: _____

Date: _____

I. Technical Criteria (30 possible points)

	Score	Possible
Extent of benefits relating to SEP goals, how well the proposal combines the goals and objectives, and proposes the realistic accomplishment and key components. <i>SEP Goals: energy cost savings, increased energy efficiency, reduction of reliance on imported energy, improving the reliability of electricity and fuel supply and the delivery of energy services, and reducing the impacts of energy production and use on the environment.</i>		<u>15</u>
Proposed plan to complete the project in an expeditious manner. Detailed description of deliverables and time lines for task completion during grant period (April 1, 2012 – September 30, 2012)		<u>5</u>
Potential for sustainability and the ability to extend the impact of funds provided		<u>5</u>
Qualifications and experience of Offerer in proposed project and experience conducting similar programs or previous performance handling prior grants with the Division		<u>5</u>

II. Cost Criteria (20 possible points)

Appropriateness for project and cost breakdown for each proposed task		<u>10</u>
Cost breakdown for each proposed task on “Addendum A”		<u>5</u>
Degree of leveraging for proposed project (25% required)		<u>5</u>

III. Program Specific (50 possible points)

List of all tasks to be performed with realistic time estimates for each work task on “Addendum A”		<u>10</u>
Description of each element to be accomplished. Task elements should be quantifiable, clearly defined, and measurable; clearly stated goals and objectives		<u>10</u>
Suitability and description of each energy improvement to be accomplished including cost, savings, and payback. Optimal payback period of building retrofits is 10 years or less on “Addendum A”		<u>10</u>
Proper documentation of ownership or lease agreement with lessor approval		<u>5</u>
Provided copies of at least 6 months of previous electricity bills		<u>5</u>
Provided number of employees over the last 12 months or average annual receipts over the past 3 years to show eligibility as a small business		<u>10</u>
Total Points:		<u>100</u>

NOTES:

PART VI – AWARD ADMINISTRATION INFORMATION FOR SELECTED PROPOSALS

A. Quarterly Progress Reports

The Energy Division will provide additional information on reporting requirements for selected proposals. In addition to standard management and financial reporting requirements, the following information will be required in quarterly program status reports as appropriate and applicable to the proposed project:

Expenditures

- Expenditures for project activities
- Expenditures for administration
- Leveraged funds

Building Retrofits

- Number of buildings retrofitted, by sector
- Square footage of buildings retrofitted, by sector

Job Creation

- Hours worked through SEP Funds

B. Final Report

The Energy Division will provide additional guidance on reporting requirements. In addition to standard management and financial reporting requirements, the following information will be required in a final report as appropriate and applicable to the proposed project:

Energy Cost Savings

- Dollars Saved

Energy Savings

- Annual reduction in natural gas consumption (mmcf)
- Annual reduction in electricity consumption (MWh)
- Annual reduction in electricity demand (MW)
- Annual reduction in fuel oil consumption (gallons)
- Annual reduction in propane consumption (gallons)
- Annual reduction in gasoline and diesel fuel consumption (gallons)

Emissions Reductions

- Amount of green house gases reduced (CO2 equivalents)
- Amount of criteria air pollutants reduced (tons)

C. Other Requirements

Selected proposals must submit all documentation required by the following to the Energy Division **prior to installation**.

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

All Projects receiving financial assistance from DOE will be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. Most projects under this solicitation will be categorically excluded from environmental assessment. The Energy Division will notify you in the event your project will require a full environmental assessment. Proposals should include a discussion of anticipated environmental impacts as described online at https://www.eere-pmc.energy.gov/NEPA_Act.aspx.

NATIONAL HISTORIC PRESERVATION ACT (NHPA)

Projects receiving financial assistance under this solicitation must obtain written approval from the Alabama Historical Commission (AHC) if the facility is included in or eligible for the National Register of Historic Places. Please visit the Alabama Historical Commission website at the following link: <http://www.historical.alabama.gov/106program.aspx> for more information on NHPA Section 106 requirements.

ENERGY STAR PORTFOLIO MANAGER

Implement the use of ENERGY STAR Portfolio Manager. Portfolio Manager is an interactive energy management tool that allows you to track and assess energy and water consumption across your entire portfolio of buildings in a secure online environment. Additional information regarding ENERGY STAR Portfolio Manager is available at:

http://www.energystar.gov/index.cfm?c=evaluate_performance.bus_portfoliomanager.

ALABAMA BUILDING COMMISSION

The Alabama Building Commission promulgates and enforces a code of minimum building standards for state building and construction, school houses, hotels, and moving picture theaters. Applicable projects receiving financial assistance under this solicitation falling under the enforcement of the Alabama Building Commission must obtain approval prior to the installation of retrofits.

IMMIGRATION REQUIREMENTS

The Beason-Hammon Alabama Taxpayer and Citizen Protection Act; Code of Alabama, Section 31-13, imposes conditions that apply to contracts, grants or incentives in the state, any political subdivision of the state or any state-funded where the co-party is a "business entity or employer." The Act will require selected proposals to provide a copy of the affidavit provided by the contractor, using a form prescribed by the Alabama Secretary of State, and a completed copy of the E-Verify Memorandum of Understanding (MOU) which is generated when the business entity or employer enrolls in that program, bearing the number assigned to that MOU by Homeland Security.

D. Procurement

All projects receiving financial assistance must follow proper procedures as stated in 10 CFR Subpart D Part 600.330 and its applicable subparts or appendices. Awardees are expected to use best commercial practices if obtaining contractors. All procurement procedures must exhibit free and open competition.

PART VII – OTHER INFORMATION

A. Right to Reject

The Energy Division reserves the right to reject any and all proposals submitted and to request additional information from all Offerers. The Energy Division reserves the right to award a grant on an "all or none" basis or to award a separate grant or no grant for each work element. Any grant award will be made to the organization which, in the opinion of the Energy Division, is determined to be the best qualified and whose proposal best meets the needs of the Energy Division. The Energy Division reserves the right to negotiate with any Offerer(s). The Energy Division reserves the right to reallocate funding for subject areas as deemed necessary. All grant awards are subject to state receipt of federal funds awarded.

B. Proprietary Information

The information contained in the proposals will be public information unless a specific request is made to keep specific information confidential. If a proposal contains any information that the Offerer does not wish to have disclosed to the public or used by the Energy Division for any purpose other than evaluation of the offer, each sheet of such information must be clearly marked "proprietary." This information will be kept confidential, subject to applicable state and federal laws. Proposals and supporting materials submitted shall become the property of the Energy Division.